

The drafting team limited its modifications to those associated with expanding the scope to include the Generator Owner and bringing the format up to date.

A. Introduction

1. **Title:** **Facility Connection Requirements**
2. **Number:** FAC-001-1
3. **Purpose:** To avoid adverse impacts on reliability, Transmission Owners and Generator Owners must establish Facility connection and performance requirements.
4. **Applicability:**
 - 4.1. Transmission Owner
 - 4.2. Applicable Generator Owner
 - 4.2.1 Generator Owner within an executed Agreement to evaluate the reliability impact of interconnecting ~~another Facility to its existing generation Facility~~ a third party Facility to the Generator Owner's existing Facility that is used to interconnect to the Transmission System.
5. **Effective Date:**
 - 5.1. In those jurisdictions where regulatory approval is required, all requirements applied to the Transmission Owner become effective upon regulatory approval. In those jurisdictions where no regulatory approval is required, all requirements applied to the Transmission Owner and Regional Entity become effective upon Board of Trustees' adoption.
 - 5.2. In those jurisdictions where regulatory approval is required, all requirements applied to the Generator Owner become effective on the first calendar day of the first calendar quarter one year after the date of the order approving the standard from applicable regulatory authorities. In those jurisdictions where no regulatory approval is required, all requirements applied to the Generator Owner become effective on the first calendar day of the first calendar quarter one year after Board of Trustees' adoption.

B. Requirements

- R1. The Transmission Owner shall document, maintain, and publish Facility connection requirements to ensure compliance with NERC Reliability Standards and applicable Regional Entity, subregional, Power Pool, and individual Transmission Owner planning criteria and Facility connection requirements. The Transmission Owner's Facility connection requirements shall address connection requirements for:
 - 1.1. Generation Facilities,
 - 1.2. Transmission Facilities, and
 - 1.3. End-user Facilities

[VRF – Medium]
- R2. Each applicable Generator Owner shall, within 45 days of having an executed Agreement to evaluate the reliability impact of interconnecting a third party Facility to the Generator Owner's existing Facility that is used to interconnect to the Transmission System ~~of executing an Agreement to evaluate the reliability impact of interconnecting another Facility to its existing generation Facility~~ (under FAC-002-1), ~~shall~~ document and publish its and thereafter maintain Facility connection requirements to ensure compliance with NERC Reliability

Standards and applicable Regional Entity, subregional, Power Pool, and individual Transmission Owner planning criteria and Facility connection requirements.

[VRF – Medium]

R3. Each Transmission Owner and each applicable Generator Owner (in accordance with Requirement R2) with Facility connection requirements and each Transmission Owner shall have Facility connection requirements that address the following items in its Facility connection requirements:

- 3.1.** Provide a written summary of its plans to achieve the required system performance as described in Requirements R1 ~~and or~~ R2 throughout the planning horizon:
 - 3.1.1.** Procedures for coordinated joint studies of new Facilities and their impacts on the interconnected Transmission Systems.
 - 3.1.2.** Procedures for notification of new or modified Facilities to others (those responsible for the reliability of the interconnected Transmission Systems) as soon as feasible.
 - 3.1.3.** Voltage level and MW and MVAR capacity or demand at point of connection.
 - 3.1.4.** Breaker duty and surge protection.
 - 3.1.5.** System ~~p~~Protection and coordination.
 - 3.1.6.** Metering and telecommunications.
 - 3.1.7.** Grounding and safety issues.
 - 3.1.8.** Insulation and insulation coordination.
 - 3.1.9.** Voltage, Reactive Power, and power factor control.
 - 3.1.10.** Power quality impacts.
 - 3.1.11.** Equipment Ratings.
 - 3.1.12.** Synchronizing of Facilities.
 - 3.1.13.** Maintenance coordination.
 - 3.1.14.** Operational issues (abnormal frequency and voltages).
 - 3.1.15.** Inspection requirements for existing or new Facilities.
 - 3.1.16.** Communications and procedures during normal and emergency operating conditions.

[VRF – Medium]

R4. The Transmission Owner shall~~Each applicable Generator Owner with Facility connection requirements (in accordance with Requirement R2) and each Transmission Owner shall maintain Facility connection requirements and~~ maintain and update its Facility connection

~~requirements as required. The Transmission Owner shall~~ make documentation of these requirements available to the users of the ~~t~~Transmission ~~s~~System, the Regional Entity, and ERO on request (five business days).

[VRF – Medium]

C. Measures

M1. The Transmission Owner shall make available (to its Compliance Enforcement Authority) evidence that it met all the requirements stated in Requirement R1.

M2. Each Generator Owner ~~that has an executed Agreement to evaluate the reliability impact of interconnecting a third party Facility to the Generator Owner's existing Facility that is used to interconnect to the Transmission System that executes an Agreement to evaluate the reliability impact of interconnecting another Facility to its existing generation Facility~~ shall make available (to its Compliance Enforcement Authority) evidence that it met all requirements stated in Requirement R2.

M3. ~~Each Transmission Owner and each applicable Generator Owner (in accordance with Requirement R2) Each applicable Generator Owner with Facility connection requirements and each Transmission Owner~~ shall make available (to its Compliance Enforcement Authority) evidence that it met all requirements stated in Requirement R3.

M4. ~~Each applicable Generator Owner with Facility connection requirements and each~~The Transmission Owner shall make available (to its Compliance Enforcement Authority) evidence that it met all the requirements stated in Requirement R4.

D. Compliance

1. Compliance Monitoring Process

1.1. Compliance Enforcement Authority

Compliance Monitor: Regional Entity

1.2. Compliance Monitoring and Enforcement Processes:

Compliance Audits

Self-Certifications

Spot Checking

Compliance Violation Investigations

Self-Reporting

Complaints

1.3. Data Retention

The Transmission Owner shall keep data or evidence to show compliance as identified below unless directed by its Compliance Enforcement Authority to retain specific evidence for a longer period of time as part of an investigation:

- The Transmission Owner shall retain evidence of Requirement R1, Measure M1, Requirement R3, Measure M3, and Requirement R4, Measure M4 from its last audit.

The Generator Owner shall keep data or evidence to show compliance as identified below unless directed by its Compliance Enforcement Authority to retain specific evidence for a longer period of time as part of an investigation:

- The Generator Owner shall retain evidence of Requirement R2, Measure M2, and Requirement R3, Measure M3, ~~and Requirement R4, Measure M4~~ from its last audit.

The Compliance Enforcement Authority shall keep the last audit records and all requested and submitted subsequent audit records.

1.4. Additional Compliance Information

None.

2. Violation Severity Levels

R #	Lower VSL	Moderate VSL	High VSL	Severe VSL
R1	Not Applicable.	<p>The Transmission Owner failed to do one of the following:</p> <p>Document or maintain or publish Facility connection requirements as specified in the Requirement</p> <p>OR</p> <p>Failed to include one (1) of the components and as specified in R1.1, R1.2 or R1.3.</p>	<p>The Transmission Owner failed to do one of the following:</p> <p>Document or maintain or publish its Facility connection requirements as specified in the Requirement</p> <p>OR</p> <p>Failed to include (2) of the components as specified in R1.1, R1.2 or R1.3</p> <p>OR</p> <p>Failed to document or maintain or publish its Facility connection requirements as specified in the Requirement and failed to include one (1) of the components as specified in R1.1, R1.2 or R1.3.</p>	<p>The Transmission Owner did not develop Facility connection requirements.</p>

R2	<p>The responsible entity <u>Generator Owner</u> failed to document and publish and thereafter maintain Facility connection requirements until more than 45 calendar days but less than or equal to 60 calendar days after <u>having an Agreement to evaluate the reliability impact of interconnecting a third party Facility to the Generator Owner's existing Facility that is used to interconnect to the Transmission System.</u> executing an Agreement to evaluate the reliability impact of interconnecting another Facility to its existing generation Facility.</p>	<p>The <u>Generator Owner</u> responsible entity failed to document and publish and thereafter maintain Facility connection requirements until more than 60 calendar days but less than or equal to 70 calendar days after <u>having an Agreement to evaluate the reliability impact of interconnecting a third party Facility to the Generator Owner's existing Facility that is used to interconnect to the Transmission System.</u> executing an Agreement to evaluate the reliability impact of interconnecting another Facility to its existing generation Facility.</p>	<p>The <u>Generator Owner</u> responsible entity failed to document and publish and thereafter maintain Facility connection requirements until more than 70 calendar days but less than or equal to 80 calendar days after <u>having an Agreement to evaluate the reliability impact of interconnecting a third party Facility to the Generator Owner's existing Facility that is used to interconnect to the Transmission System.</u> executing an Agreement to evaluate the reliability impact of interconnecting another Facility to its existing generation Facility.</p>	<p>The <u>Generator Owner</u> responsible entity failed to document and publish and thereafter maintain Facility connection requirements until more than 80 days after <u>having an Agreement to evaluate the reliability impact of interconnecting a third party Facility to the Generator Owner's existing Facility that is used to interconnect to the Transmission System.</u> executing an Agreement to evaluate the reliability impact of interconnecting another Facility to its existing generation Facility.</p>
R3	<p>The responsible entity's Facility connection requirements failed to address one of the <u>Parts listed in Requirement R3, Part 3.1.1 R3.1.6subrequirements.</u></p>	<p>The responsible entity's Facility connection requirements failed to address two of the <u>Parts listed in Requirement R3, Part 3.1.1 R3.1.6subrequirements.</u></p>	<p>The responsible entity's Facility connection requirements failed to address three of the <u>Parts listed in Requirement R3, Part 3.1.1 R3.1.6subrequirements.</u></p>	<p>The responsible entity's Facility connection requirements failed to address four or more of the <u>Parts listed in Requirement R3, Part 3.1.1 R3.1.6subrequirements.</u></p> <p>OR</p> <p>The responsible entity does not have Facility connection requirements.</p>
R4	<p>The responsible entity made the requirements available more than</p>	<p>The responsible entity made the requirements available more than 10</p>	<p>The responsible entity made the requirements available more than 20</p>	<p>The responsible entity made the requirements</p>

	five business days but less than or equal to 10 business days after a request.	business days but less than or equal to 20 business days after a request.	business days less than or equal to 30 business days after a request.	available more than 30 business days after a request.
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E. Regional Differences

1. None identified.

Version History

Version	Date	Action	Change Tracking
0	April 1, 2005	Effective Date	New
1	TBD	Added requirements for Generator Owner and brought overall standard format up to date	Revision under Project 2010-07